

## For Immediate Release

## **Department of Regulatory Agencies**

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## **DORA Appoints Gerald Rome as new Securities Commissioner**

**DENVER**—May 19, 2014 — Barbara Kelley, Executive Director of the Department of Regulatory Agencies (DORA), announced today the appointment of Gerald Rome as the new Securities Commissioner in the Department's Division of Securities.

Rome has served as the Deputy Securities Commissioner since 2004 and has been Acting Securities Commissioner since January 2014. Rome's appointment will become effective on June 2, 2014.

"Jerry brings a wealth of knowledge and experience to the division and is highly regarded at both the state and federal level. His extensive experience makes him the ideal candidate for the Securities Commissioner position, which is responsible for enforcing the securities, commodities, and other designated laws, and protecting the investing public" said Executive Director Kelley.

As Deputy Securities Commissioner, Mr. Rome directed the Division's enforcement, licensing and examination activities. Prior to serving as the Deputy Securities Commissioner, he was the Division's chief legal counsel in all its civil enforcement matters as First Assistant Attorney General for the Colorado Attorney General's Office.

In addition to his work as a securities regulator, Mr. Rome served as Senior Attorney for the Resolution Trust Corporation/FDIC, where he directed the Civil Fraud Task Force for the Denver office. Mr. Rome also worked for six years as a criminal prosecutor, including two years prosecuting securities law violations investigated by the Colorado Division of Securities.

Currently, Rome serves on the Enforcement Section Committee of the North American Securities Administrators Association (NASAA) to identify trends in enforcement across the nation and advises the NASAA Board on strategy. As a member of the Federal Legislation Committee, Jerry informs national legislative efforts regulating the securities industry.

"I appreciate having the opportunity in this new role as Securities Commissioner to continue to build on efficient regulation that enhances investor protection and increases capital formation in Colorado," said Rome. "The Division of Securities is the front-line defense against securities scams, and maintaining confidence in the Colorado securities markets depends upon targeted enforcement and education of the professionals, businesses, and investors alike. I look forward to helping Colorado investors and businesses safely navigate the market."

Rome is a graduate of the University of Colorado and the University of Denver, School of Law. Rome succeeds Fred Joseph who retired at the end of 2013.

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DORA is dedicated to preserving the integrity of the marketplace and is committed to promoting a fair and competitive business environment in Colorado. Consumer protection is our mission.

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